

*Application*  
*For*  
*United States Non-Provisional Utility Patent*

5    **METHOD AND APPARATUS FOR SUB-NETWORK DEVICES WITHOUT  
DIRECT LAYER-2 COMMUNICATION AND COUPLED TO A COMMON  
FORWARDING AGENT INTERFACE TO COMMUNICATE THROUGH  
LAYER-3**

10

*Inventor:*

**Randy Frei, residing at 856 Gallatin Drive, #1, Santa Clara, CA 95051, Citizen of  
the United States**

004790-97216560

**Method And Apparatus For Sub-Network Devices Without Direct Layer-2  
Communication And Coupled To A Common Forwarding Agent Interface To  
Communicate Through Layer-3**

5    Field of Invention

        The invention relates to communication on a sub-network, particularly layer-3 communication between sending and receiving devices on a sub-network without layer-2 communication.

10   Background of Invention

        Conventional communication systems connect thousands of personal computers (PCs) and other network devices adapted to communicate using the open system interconnection (OSI) model. Often, a smaller number of computers are linked to form a local area network (LAN), or a wide area network (WAN). LANs, WANs, and other  
15   networks are generally referred to as sub-networks. One larger communication network is the Internet, which interconnects millions of computers, LANs, WANs and other sub-networks.

        To communicate between devices within a sub-network, a sending device (e.g.,  
20   computer) may send an address resolution protocol (ARP) request to the sub-network to find a destination device (e.g., computer). ARP is the process of mapping a network address to a media access control (MAC) address. The ARP request is broadcast to the sub-network. The ARP request is received and processed by all sub-network devices; but only the intended destination device replies. In response to the ARP request from the  
25   sending device, the destination device sends an ARP reply to the sending device. The ARP reply from the destination device contains the MAC address of the destination device and Internet protocol (IP) network address. The sending device receives the ARP reply containing the destination device MAC address. Through network protocols, the sending device parses the ARP reply and determines the destination MAC and IP address.

With knowledge of the destinations MAC and IP addresses, the sending device transmits data-packets of information directly to the destination device.

As members of a sub-network communicate, network protocols enable MAC addresses of other members on the same sub-network to become known. Unfortunately, knowledge of MAC addresses enables "looking" into, or manipulating, another member computer, or computer files. For example, a sub-network member can be disguised as another member in order to intercept data-packets (i.e., "spoofing"). Therefore, the current OSI model and use of ARP allows for direct communication between members of a sub-network at the expense of sub-network privacy. Accordingly, it is desirable for sub-network members to communicate while enabling sub-network privacy.

### Summary of Invention

The invention enables sub-network members without layer-2 communication coupled to a common forwarding agent's sub-network interface, to communicate using layer-3 communication. For example, in a sub-network without layer-2 communication, a sending device, using the same forwarding agent's sub-network interface as a receiving device, sends an ARP request to the sub-network to learn the MAC address of the receiving device. A network device configured with the forwarding agent's MAC address and P2ARP function is interconnected between a sending device and forwarding agent. The P2ARP function is adapted to: intercept the ARP request from the sending device, examine the IP address of the receiving device, and send an ARP reply including the MAC address of the forwarding agent to the sending device. The sending device, upon receiving the ARP reply, forwards data-packets intended for the receiving device to the forwarding agent through layer-3. The forwarding agent, upon receiving the data-packets from the sending device, forwards the data-packets to the receiving device.

Aspects of the preferred embodiment pertain to specific method steps implimentable on a device adapted to use a program. The program defining the functions of the preferred embodiment can be provided to a network device via a variety of signal-bearing media. Such signal-bearing media, when carrying computer-readable instructions that direct the functions of the invention, represent alternative embodiments of the invention.

#### Brief Description of Drawings

Fig. 1 is a simplified system diagram illustrating functional components of a P2ARP device relevant to the present invention.

Fig. 2 is a flow chart showing functional steps associated with P2ARPfunction in accordance with the present invention.

Fig. 3 is simplified sub-network system diagram, illustrating sub-network system architecture relevant to the present invention, using P2ARP devices interconnected to router 320.

Fig. 4 is simplified sub-network system diagram, illustrating sub-network system architecture relevant to the present invention, including switch 437, router 320, server 439, and firewall 438.

#### Detailed Description of Invention

Preferred embodiments of the invention include a method and apparatus for allowing sub-network members without layer-2 communication and coupled to a common forwarding agent's sub-network interface, to communicate through layer-3. Aspects of the preferred embodiment pertain to specific method steps implimentable on a device adapted to use a program. The program defining the functions of the preferred embodiment can be provided to a network device via a variety of signal-bearing media.

Such signal-bearing media, when carrying computer-readable instructions that direct the functions of the invention, represent alternative embodiments of the invention.

Figure 1 depicts a proxy-proxy address resolution protocol (P2ARP) device 124.

5 The P2ARP device 124 comprises: a central processing unit (CPU) 142, storage 146, memory 144, client-side port 150 and network-side port 152 for interconnection to a network. Memory 144 is a random access memory sufficiently large to hold P2ARP function 147 as described in Figure 2. The P2ARP function 147 may be accessed and executed by the CPU 142 as needed during operation.

10

Figure 1 is only one hardware configuration for the P2ARP device 124. A preferred embodiment of the invention can apply to any comparable hardware configuration, regardless of whether the computer system is a multi-user computing apparatus, a single-user workstation, or network appliance that does not have non-volatile storage.

15

Figure 2 illustrates a flow diagram of a method 200 for allowing sub-network members without layer-2 communication and coupled to a common forwarding agent's sub-network interface, to communicate through layer-3. When necessary, Figure 1 is referenced in the following discussion of Figure 2. Specifically, Figure 2 illustrates the P2ARP function 147 included within P2ARP device 124. The P2ARP function 147 is adapted to: receive an ARP request from a sending device, interpret the ARP request, and send a ARP reply including the MAC address of forwarding agent to the sending device.

20

25 The method 200 begins when a sending device initiates communication with a receiving device on sub-network by sending an ARP request to the sub-network at 202. The P2ARP function 147 intercepts the ARP request and interprets the ARP request to determine the destination IP address of the receiving device at 204.

Often, a network administrator may configure portions of the sub-network to communicate via layer-2. Other devices, such as servers and routers, communicate at layer-2. In a preferred embodiment, the P2ARP function 147 at 206 determines, using the IP address of the receiving device, if the sending and receiving devices can communicate through layer-2. If the P2ARP function 147 determines the sending and intended receiving device can communicate through layer-2, the ARP request is allowed to proceed to the sub-network at 208. If sending and receiving devices are unable to communicate through layer-2, the P2ARP function 147 proceeds to 210 to initiate the process of sending an ARP reply to the sending device.

The P2ARP function 147 requests the MAC address of the forwarding agent if unknown at 210. At 212, the P2ARP function 147 sends an ARP reply including the MAC address of the forwarding agent, to the sending device. Upon receiving the ARP reply at 212, the sending device at 214 forwards data-packets from the sending device to the forwarding agent. The data-packets from the sending device contain the MAC of forwarding agent and IP addresses of the destination device. The forwarding agent receives from the sending device, intended for the destination device, and forwards the data-packets at 216 to the destination device using layer-3.

Figure 3 illustrates an embodiment of the system to enable layer 3 communication for sub-network members without layer 2 communication and coupled to a common forwarding agent's sub-network interface. As necessary, Figures 1 and 2 are referenced in the following discussion of Figure 3. Specifically, Figure 3 illustrates the use of a P2ARP device 124 described in Figure 1 including P2ARP function 147 as shown in Figure 1 and described in method 200 of Figure 2, within a sub-network 300. Device-A 326 and device-B 328 are members of, and connected to, a local sub-network 300.

Device-A 326 sends an ARP request to sub-network 300 in order to locate device-B. The ARP request is intercepted by a P2ARP device 322A configured with the MAC

address of router 320 (i.e., forwarding agent), and the P2ARP function 147. If the P2ARP device 322A does not contain the MAC address of the router 320, it requests the MAC address of router 320 from the sub-network 300. Upon receiving the ARP request, P2ARP device 322A examines the request to determine the IP address of device-B 328.

5 P2ARP device 322A uses the IP address of device-B 328, to determine if device-A 326, and device-B 328, can directly communicate through layer-2. If P2ARP device 322A determines device-A 326 and device-B 328 can communicate through layer-2, the ARP request is passed through to sub-network 300. If device-A 326 and device 328 cannot communicate at layer-2, P2ARP device 322A sends a ARP reply to device-A 326

10 containing the MAC address of router 320. If the P2ARP device 322A does not have the MAC address of router 320, the P2ARP device requests the MAC address of router 320.

Upon receiving the ARP reply, device-A 326 sends data-packets, intended for device-B 328, to router 320. Upon receiving data-packets intended for device-B 328,

15 from device-A 326, router 320 forwards the data-packets to device-B 328 through layer-3.

Figure 4 illustrates an embodiment of the system to enable layer 3 communication for sub-network members without layer 2 communication and connected to a common forwarding agent's sub-network interface. As necessary, Figures 1 and 2 are referenced in the following discussion of Figure 4. Specifically, Figure 4 illustrates an embodiment

20 using a switch 437, within a sub-network 400, configured to operate as P2ARP device 124 described in Figure 1 and including P2ARP Function 147 as shown in Figure 1 and described in method 200 of Figure 2. Device-A 433 and device-B 434 are members of, and connected to, sub-network 400.

25 Device-A 433 sends an ARP request for device-B 434. Device-A 433 is connected to network switch 437 through a modem-type device 435. The ARP message is intercepted by switch 437 configured with a MAC address of firewall 438 and P2ARP function 147. If the switch 437 does not contain the MAC address of the firewall 438, it

requests the MAC address of the firewall 438 from the sub-network 400. Upon receiving the request, switch 437 determines if device-A 433 and device-B 434 can communicate at layer-2. If switch 437 determines device-A 433 and device-B 434 can communicate directly through layer-2, then the ARP request is allowed through to sub-network 400 through modem device 436. If device-A 433 and device-B 434 cannot communicate through layer-2, switch 437 sends a ARP reply to device-A 433 containing the MAC address of firewall 438. If switch 437 does not have the MAC address of firewall 438, switch 437 requests the MAC address for firewall 438.

Upon receiving the ARP reply, device-A 433 forwards data-packets to firewall 438 using layer-3. The firewall 438 receives and forwards data-packets from device-A 433, to device-B 434 through layer-3.

The above embodiments are only illustrative of the principles of this invention and are not intended to limit the invention to the particular embodiments described. For example, one skilled in the art should recognize that the P2ARP function is configurable within any network device adapted to communicate at layer-2 and is implementable in hardware.

Although the preferred embodiment uses the IP address to determine whether the sending and receiving device may communicate using layer-2, one skilled in the art should recognize that there are other means to determine if the sending device and receiving device can communicate through layer-2.

Accordingly, various modifications, adaptations, and combinations of various features of the described embodiments can be practiced without departing from the scope of the invention as set forth in the appended claims.